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Intellectual Property Administration
P. O. Box 272400
Fort Collins, Colorado 80527-2400

2153
PATENT APPLICATION
#2

ATTORNEY DOCKET NO. 10012257



IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inv ntor(s): Yasushi Kanada and Brian J. O'Keefe

Confirmation No.:

Application No.: Unassigned

Examiner: Unassigned

Filing Date: 09842130
April 26, 2001

Group Art Unit:

Title: Method and System for Controlling a Policy-Based Network

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COMMISSIONER FOR PATENTS
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (X) under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- () under 37 CFR 1.97 (c) together with either a:
() Statement under 37 CFR 1.97(e), or
() a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- () under 37 CFR 1.97 (d) together with a:
() Statement under 37 CFR 1.97(e), and
() a petition under 37 CFR 1.97(d)(2), and
() a \$180.00 petition fee set forth in 37 CFR 1.17(i).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

() A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

Yasushi Kanada and Brian J. O'Keefe

By Andrew J. Bateman REG. NO. 45,573

for Patrick C. Keane

Attorney/Agent for Applicant(s)
Reg. No. 32,858

Date: August 1, 2001

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

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Sheet 1 of 2

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
10012257		
APPLICANT		
Yasusi Kanada and Brian J. O'Ke f		
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April 26, 2001		

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REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
1A					
1B					
1C					
1D					
1E					
1F					
1G					
1H					
1I					
1J					
1K					

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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	1L							
	1M							
	1N							
	1O							
	1P							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

1Q	Stardust.com, Inc., Introduction to QoS Policies (July 1999), (visited 2/21/01) < http://www.stardust.com/policy/whitepapers/qospol.htm >
1R	Internet Draft, Internet Engineering Task Force, An Architecture for Differentiated Services (December 1998), (visited 2/21/01) < http://www.ietf.org/ >
1S	Internet Draft, Internet Engineering Task Force, An Expedited Forwarding PHB (June 1999), (visited 2/21/01) < http://www.ietf.org/ >

EXAMINER

DATE CONSIDERED

PATENT APPLICATION

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FORM PTO-1449		ATTY. DOCKET NO.	APPLICATION NO.	CONFIRMATION NO.
		10012257		
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT		
(Use several sheets if necessary)		Yasusi Kanada and Brian J. O'Kefe		
		FILING DATE	GROUP	
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							YES NO
		2L					
		2M					
		2N					
		2O					
		2P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	Internet Draft, Internet Engineering Task Force, Assured Forwarding PHB Group (June 1999), (visited 2/21/01) < http://www.ietf.org/ >
2R	Internet Draft, Internet Engineering Task Force, A Two-bit Differentiated Services Architecture for the Internet (July 1999), (visited 2/21/01) < http://www.ietf.org/ >
2S	Internet Draft, Internet Engineering Task Force, SNMP-based QoS Programming Interface MIB for Routers (October 1999), (visited 2/21/01) < http://www.kanadas.com/activenet/index.html >

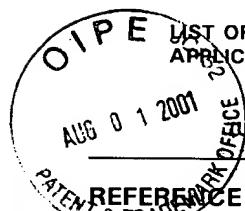
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FORM PTO-1449

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	3L							
	3M							
	3N							
	3O							
	3P							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

3Q	Yasusi Kanada, Two Rule-based Building-block Architectures for Policy-based Network Control, 2nd International Working Conference on Active Networks (IWAN 2000), October 2000
3R	
3S	

EXAMINER

DATE CONSIDERED